



12/1/03

PTO/SB/17 (12-04v2)  
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<b>Effective on 12/08/2004.</b> Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).		<b>Complete if Known</b>	
<b>FEE TRANSMITTAL</b> <b>For FY 2005</b>		Application Number	10/609,503-Conf. #1654
		Filing Date	July 1, 2003
		First Named Inventor	Yoshinori SHIMIZU
		Examiner Name	J. L. Williams
		Art Unit	2879
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Attorney Docket No.	0020-5146P
<b>TOTAL AMOUNT OF PAYMENT</b>		<b>(\$)</b>	<b>180.00</b>

**METHOD OF PAYMENT** (check all that apply)

☒ Check    ☐ Credit Card    ☐ Money Order    ☐ None    ☐ Other (please identify): \_\_\_\_\_

☐ Deposit Account    Deposit Account Number: 02-2448    Deposit Account Name: Birch, Stewart, Kolasch & Birch, LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below    ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayment of fee(s) under 37 CFR 1.16 and 1.17    ☒ Credit any overpayments

**FEE CALCULATION**

**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES**

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

**Total Claims**    **Extra Claims**    **Fee (\$)**    **Fee Paid (\$)**

\_\_\_\_\_ - 20 = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

**Multiple Dependent Claims**

**Fee (\$)**    **Fee Paid (\$)**

\_\_\_\_\_

**Indep. Claims**    **Extra Claims**    **Fee (\$)**    **Fee Paid (\$)**

\_\_\_\_\_ - 3 = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
_____	_____	_____ / 50 _____ (round up to a whole number) x _____	_____	_____

**4. OTHER FEE(S)**

	Fees Paid (\$)
Non-English Specification, \$130 fee (no small entity discount)	
Other (e.g., late filing surcharge): <u>1806 Submission of an Information Disclosure Statement</u>	<u>180.00</u>

<b>SUBMITTED BY</b>			
Signature	<u>Esther Cheng #40,953</u>	Registration No. (Attorney/Agent)	32,868
Name (Print/Type)	<u>Andrew D. Meikle</u>	Telephone	(703) 205-8000
		Date	June 15, 2005



Docket No.: 0020-5146P  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Yoshinori SHIMIZU et al.

Application No.: 10/609,503

Confirmation No.: 1654

Filed: July 1, 2003

Art Unit: 2879

For: LIGHT EMITTING DEVICE WITH BLUE  
LIGHT LED AND PHOSPHOR  
COMPONENTS

Examiner: J. L. Williams

**INFORMATION DISCLOSURE STATEMENT**  
**(SUBMISSION AFTER NOTICE OF ALLOWANCE**  
**BUT PRIOR TO PAYMENT OF THE ISSUE FEE)**

**HANDCARRY TO:**  
**U.S. Patent and Trademark Office**  
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**Randolph Building**  
**401 Dulany Street**  
**Alexandria, VA 22314**

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

**I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION**

The patents, publications, or other information submitted for consideration by the Office are listed on the PTO-SB08(s), attached hereto.

06/16/2005 SDENB081 00000021 10609503

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180.00 0P

II. COPIES

☒ Copies of cited U.S. patents and patent application publications are not included. Copies of foreign patent documents and non-patent literature are included.

III. CONCISE EXPLANATION OF THE RELEVANCE

(Check at least one box)

☒ a. DOCUMENTS IN THE ENGLISH LANGUAGE - The patents, publications, or other information listed on the attached PTO SB08 are in the English language and therefore, do not require a statement of relevancy.

☒ b. DOCUMENTS NOT IN THE ENGLISH LANGUAGE - A concise explanation of the relevance of all patents, publications, or other information listed that is not in the English language is as follows:

☐ c. ENGLISH LANGUAGE SEARCH REPORT - An English language version of the search report or action that indicates the degree of relevance found by the foreign office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(III)(A)(3).

☒ d. OTHER - The following additional information is provided for the Examiner's consideration.

Official Action dated March 15, 2005 of JP Patent Appln. No. 10-352136, and an English translation of the Official Action.

Official Action dated March 22, 2005 of JP Patent Appln. No. 2000-110454, and an English translation of the Official Action.

Official Action dated March 22, 2005 of JP Patent Appln. No. 11-321930, and an English translation of the Official Action.

Official Action dated March 22, 2005 of JP Patent Appln. No. 2002-278066, and an English translation of the Official Action.

Official Action dated March 29, 2005 of JP Patent Appln. No. 2001-330406, and an English translation of the Official Action.

Official Action dated April 19, 2005 of JP Patent Appln. No. 11-331293, and an English translation of the Official Action.

THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(d): After the mailing date of a Final Action under § 1.113. See the Statement Under 37 C.F.R. § 1.97(e).

IV. STATEMENT UNDER 37 C.F.R. § 1.97(e)

(check only one box)

The undersigned hereby states that:

☐ a. Each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than 30 days prior to the filing of this IDS; or

☒ b. Each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

☐ c. No item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the IDS.

☐ d. Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned states that each item of information contained in the IDS was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby states that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

V. PAYMENT OF FEES (check one box)

☒ The required fee is listed on the attached Fee Transmittal.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule and charge the appropriate fee to Deposit Account No. 02-2448.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to our Deposit Account No. 02-2448 for

Application No.: 10/609,503

Docket No.: 0020-5146P

any additional fees required under 37 C.F.R. § 1.16 or under § 1.17; particularly, extension of time fees.

Dated: June 15, 2005

Respectfully submitted,

By Esther Chong #40,953  
for Andrew D. Meikle  
Registration No.: 32,868  
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Attachments

- ☒ PTO-SB08
- ☒ Documents
- ☐ Foreign Search Report
- ☒ Fee
- ☒ Other: Six Japanese Official Actions



Substitute for form 1449A/B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>		
				Application Number	10/609,503-Conf. #1654	
Sheet		1	of	2	Attorney Docket Number	0020-5146PUS2P

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	AA	US-6,066,861 A	05/23/2000	Hohn et al.	
	AB	US-6,784,511 B1	08/31/2004	Kunihara et al.	
	AC	US-5,257,049 A	10-26-1993	Van Peteghem	
	AD	US-6,576,930 B2	06-10-2003	Reeh et al.	
	AE	US-6,812,500 B2	11-02-2004	Reeh et al.	
	AF	US-2001-030326 A1	10-18-2001	Reeh et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)			
	BA	JP11-	500584	01/12/1999		Y
	BB	JP49-	122292	11/22/1974		Y
	BC	JP7-	321407	12/08/1995	FUJI ELECTRIC CO LTD.	Y
	BD	JP5-	226676	03/09/1993	SHARP CORP.	Y
	BE	JP6-	115158	04/26/1994	AGFA GEVAERT NV	Y
	BF	JP07-	288341	10/31/1995	NICHIA CHEM IND LTD	Y
	BG	JP61-	158606	07/18/1986		Y
	BH	JP2000-	512806	09/26/2000		Y

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
	CA	Nikkei Sangyo Shin-bun of September 13, 1996		
	CB	S. NAKAURA et al., "High Quality InGaN Films Grown on GaN Films", Japanese Journal of Applied Physics Part 2, Vol. 31, No. 10B, 1992, pages L1457-1459		
	CC	Mitsubishi Electric Company Technical Report, Vol. 48, No. 9, 1974, pages 1121-1124		
	CD	Proceedings of Illumination National Convention in 1983, page 12		
	CE	Phosphor Handbook, 1 <sup>st</sup> Edition, 1987, pages 233-240 and 275-277		
	CF	Journal of the Television Society, Vol. 47, No. 5, 1993, pages 753-764		
	CG	R.W.G. HUNT, "Revised Colour-Appearance Model for Related and Unrelated Colours", Color Research & Application, Vol. 16, No. 3, 1991, pages 146-165		
	CH	Y. NAYATANI, "Revision of the Chroma and Hue Scales of a Nonlinear Color-Appearance Model", Color Research & Application, Vol. 20, No. 3, June 1995, pages 143-155		
	CI	M. IKEDA et al., "Equivalent Lightness of Colored Objects at Illuminances from the Scotopic to the Photopic Level", Color Research & Application, Vol. 14, No. 4, August, 1989, pages 198-206		

Examiner Signature		Date Considered	
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Substitute for form 1449A/B/PTO				<b>Complete if Known</b>	
				Application Number	10/609,503-Conf. #1654
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				Filing Date	July 1, 2003
				First Named Inventor	Yoshinori SHIMIZU et al.
				Art Unit	2879
				Examiner Name	J. L. Williams
				Attorney Docket Number	0020-5146PUS2P
Sheet	2	of	2		

	CJ	M. IKEDA et al., "Equivalent Lightness of Colored Objects of Equal Munsell Chroma and of Equal Munsell Value at Various Illuminances", Color Research & Application, Vol. 16, No. 2, April, 1991, pages 72-80	
	CK	H. SHINODA et al., "Categorized Color Space on CRT in the Aperture and the Surface Color Mode", Color Research & Application, Vol. 18, No. 5, October, 1993, pages 326-333	
	CL	M. IKEDA, "Change of Color Conspicuity for Various Illuminance Levels: Effects of the Purkinje shift", Journal of the Illumination Society, Vol. 71, No. 10, 1987, pages 612-617 And English Abstract	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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